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March 31, 2004
Christa J. Hale
SIGNATURE

03/31/2004
DATE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : James J. Pagliuca et al.
Serial No. : 10/665,754
Filing Date : September 19, 2003
For : SURGICAL TOOL FOR
USE IN EXPANDING A CANNULA
Art Unit : 3731
Examiner : TBD
Attorney Docket : A31-4000-4

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

1. Pursuant to 37 CFR §1.97 and §1.98, and in compliance with CFR §1.56, the Office's attention is directed to the patents, pending applications, publications and other information listed on the attached PTO-1449. Applicant(s) make no admission that the documents are prior art to the present invention.
2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a corresponding U.S. Patent is enclosed, or an English abstract, or a concise explanation of the relevance of the document is set forth on an attached sheet.
3. Pursuant to 37 CFR §1.97(b) this Statement is being filed (one must be checked):
 - (a) ☐ Within three months of the filing date or date of entry into the National Stage.

- (b) ☒ Before the mailing date of a first Office Action on the merits.
- (c) ☐ After the period set forth in 37 CFR §1.97(b) but before the mailing date of either a final action or a notice of allowance or an action that otherwise closes prosecution in the application.
- 1) ☐ A certification is given below,
- 2) ☐ Enclosed is a check covering the fee (\$180.00) set forth in §1.17(p) for consideration of this Statement, or
- 3) ☐ Charge the fee set forth in 37 CFR §1.17(p) to Deposit Account No. 20-0090.
- (d) ☐ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. The required certification and fee is indicated below.
- 1) ☐ Enclosed is a check covering the fee set forth in 37 CFR §1.17(p) \$180, or
- 2) ☐ Charge the fee set forth in 37 CFR §1.17(p) to Deposit Account No. 20-0090.

4. Certification (if applicable):

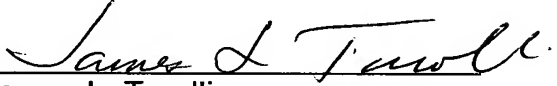
- (a) ☐ The undersigned hereby certifies that each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.
- (b) ☐ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the undersigned's knowledge after making reasonable inquiry no item of information contained in the Statement, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees, fees underpaid, or credit any overpayment with regard to this Statement to Deposit Account No. 20-0090.
6. Concise Explanation (if needed):
- (1) ☐ Below is a Concise Statement of Relevance of enclosed non-English language document(s).

U.S. PATENT DOCUMENTS

U.S. Patent Appln. Publication No. US 2003/0191371

Respectfully submitted,


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FORM PTO-1449
(REV. 6-89)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY DOCKET NO.: A31-4000-4

SERIAL NO. 10/665,754

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

APPLICANT(S): James J. Pagliuca et al.

FILING DATE: September 19, 2003

GROUP: 3731

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
A	US-2003/0191371 A1	Oct. 9, 2003	Smith et al.			
B						
C						
D						
E						
F						
G						
H						
I						
J						
K						

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
					YES	NO
L						
M						
N						
O						
P						
Q						
R						

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

S	
T	
U	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP §609;
Draw line through citation if not in conformance and not considered. Include copy of this form with next
communication to the patent applicants' attorney.